Excellence, Innovation and Wellness

Foundation Level Report

November 10, 2014
<table>
<thead>
<tr>
<th><strong>University of Waterloo Library Information</strong></th>
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<tbody>
<tr>
<td><strong>Organization Name:</strong> Library – University of Waterloo</td>
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<tr>
<td><strong>Address:</strong> 200 University Ave West, Waterloo, ON N2L 3G1</td>
</tr>
</tbody>
</table>
| **Contact Person** Mark Haslett  
University Librarian  
mhaslett@uwaterloo.ca  
519-888-4567 ext 33568 |
| **Locations Visited:** Dana Porter and Davis Centre Libraries |
| **Number of Employees** 162 FTE (full time equivalent) employees (= 128 permanent FTEs and 34 casual and contract FTEs) |
| **Number of Locations** Several locations in Waterloo and regional municipalities |
| **Date of Site Visit** October 23, 2014 |
| **Verification Team**  
**Lead** Kathryn Cestnick  
**Team Members** Kevin Braun  
Jim Beattie |
| **Adjudication reviewer** Karen Jackson |
LIBRARY – University of Waterloo

Excellence, Innovation and Wellness
Foundation Level
October 23, 2014

The Excellence, Innovation and Wellness (EIW) Foundation Level demonstrates a clear commitment to excellence, innovation and wellness.

- The organization is in the early stages of implementing a long-term strategic focus on excellence, innovation and wellness that promotes good principles and practices as outlined in the Standard.
- There is a commitment to continuous improvement with awareness and education on the Standard, and using internal and/or external assessment, either in a pilot project or across the organization, to assist the process of establishing priorities for improvement.

The expected key outcomes of the Foundation level are:

- Broad team support of the vision, mission, and values.
- Recognition of the importance of embedding excellence, innovation and wellness principles in decision making at all levels of the organization.
- Policy statements related to excellence, innovation and wellness.
The Verification Process

In October 2014, the Library of the University of Waterloo applied for the EIW Foundation level. The following formed part of the verification process:

a. An employee survey was conducted by Excellence Canada both in May and again in October (78 people completed the first survey and 69 the second one)
b. EC team reviewed the material and discussed submission and findings
c. Focus Group conducted - Library Pilot Project Steering Committee
d. Focus Group conducted - Library Department Heads
e. Focus Group conducted - Other Library employees
f. Tour of Dana Porter and Davis Centre Libraries
g. Wrap up/Debrief meeting with Steering Committee and VP, Academic & Provost

Summary of the Findings

We are pleased to report that the LIBRARY, University of Waterloo has satisfied the requirements and has qualified to receive the FOUNDATION level certification in the Excellence, Innovation and Wellness program.

A brief report of our observations follows.

A NOTE TO THE READER:

In all of the six drivers, the Library has exceeded the requirements and minimum scores for certification at the Foundation level of the Excellence, Innovation and Wellness standard. This report outlines strengths and opportunities that were noted while reviewing the submission and in talking to employees during the site visit.

It is important to note that the opportunities outlined in this report generally apply to the Library moving forward to the next levels of EIW, and would not have been expected to be in place at the Foundation level.

Congratulations again to the University of Waterloo Library for your dedication to, and focus on excellence, innovation and wellness.
BEST PRACTICES NOTED:

- Commitment of the Leadership to EIW
- Commitment to flexibility, work from home
- Customer focus
- Partnerships
- Innovation – many “firsts” noted in application, e.g., Adaptive Technology Centre
- Commitment to Professional Development
- Collaboration

Employees love the flexibility they receive as part of the caring environment.

Excellence Canada Verification Team
WE ASKED EMPLOYEES WHAT IT IS LIKE TO WORK AT THE LIBRARY:

- Supportive
- Collaborative
- Open door
- Learning environment
- Team effort
- Not hierarchal
- Increasingly communicative
- Fantastic
- Love the people
- Love what I do
- Love working with students
- One of the best places to be
- Environment is great
- Meet a lot of people
- Great place to work
- Workload is hard – we don’t always have time to work on projects
- Very busy (just maintain status quo with no time for innovation)
- Takes too long to replace people
- Need more staff – we have not kept up with student growth
- I have to take work home
- I can work from home
- I have the opportunity to have a regular schedule
- I want to come to work every day
- Supportive in training
- I’m happy to be here
- Relaxed pace
- I do not have to take work home
- I am a contract employee – I want to stay
LEADERSHIP AND GOVERNANCE - Strengths

- Commitment by the senior team to focus on Excellence, Innovation and Wellness
- Very engaged and approachable senior leadership team
- Open door policy where employees feel free to bring forward suggestions
- Leaders “walk the talk” when it comes to excellence and wellness
- The culture of innovation is evident
- Role model in academic community for collaboration – e.g., Tri-University Group (TUG), OCUL, CRKN, etc.
- Good corporate communications in place including Intranet, newsletters, etc.
- Culture where employees feel informed
- Leaders demonstrate and reinforce the values of the organization (everyone knew the mission although they couldn’t recite it word for word)
- Good communication through regular meetings
- Library Liaison positions (16 or 17)
- 2-day staff conference every year
- Professional development opportunities are a priority and time is provided to attend these events/courses/programs
- Learnings from professional development are shared with other employees
- Results from Excellence Canada surveys were shared with all staff
- “All Staff” meetings
- Library Department Heads meet twice monthly - minutes are available online
- Leadership Foundations for new managers and supervisors
- Succession planning is being conducted and planning for people retiring and open positions is ongoing
- Focus on diversity, e.g., policies in place, six principles of inclusivity, Diversity Advisory Committee, staff invited to participate in training, Adaptive Technology Centre, AERO, ACE etc.
- On risk management, the Library manages risks such as copyright, licensing, pandemic emergency service plan, safeguarding records, IT infrastructure etc. On a university-wide basis, the Secretariat and Office of General Counsel has overarching responsibility for risk management
- Great reputation in community as well as across the country
• Corporate social responsibility, e.g., Canada day celebration for the community, other events such as United Way etc.

Leadership and Governance – Opportunities

• Ensure that the effectiveness of leadership/managers is being measured (surveys, focus groups, feedback mechanisms, etc.)
• Continue to work on inter-departmental cross-functional collaborations to ensure great communication, smooth and efficient processes etc.
• Continue to work on succession planning due to large number of positions retiring in the next few years
• Innovation can be more formally tracked and broadened across all areas, e.g., can you measure the effect innovative practices are having? Can you capture how innovation is making a difference? What is happening with great ideas? Is there a repository to capture innovative practices?
STRATEGY AND PLANNING – Strengths

- University has in place a Strategic plan that had extensive consultation
- The Library has in place 4 strategic directions which are aligned to the University overarching strategy
- These directions had significant input from stakeholders
- Long standing mission statement which is still relevant
- A library communications team is in place and library employees make use of many forms of communication, e.g., meetings, minutes online, emails, websites, Sharepoint etc.
- Daily Bulletin, town halls, President’s quarterly report
- Project Charter
- Many key policies in place to support Excellence, Innovation and Wellness

72% of employees say the Library is committed to Excellence, Innovation and Wellness

Excellence Canada Survey

STRATEGY AND PLANNING - Opportunities

- As you move to Silver level, ensure that the Library implements annual planning, including S.M.A.R.T. (measureable) short-term goals which align to the 4 strategic directions, and which are monitored on an ongoing basis. Key indicators will be established to measure performance against these goals. You may create a template for a “scorecard” which can be used for all departments. (see Section 2.2 in EIW Silver level)
- Continue to find ways to share “best practices” across all departments
- Continue to enhance the Intranet which could have special sections for areas such as wellness, innovation, success stories, excellence journey, etc.
CUSTOMER EXPERIENCE - Strengths

- Employees understand the importance of customer engagement
- Library’s mission statement states “client needs are primary”\(^1\)
- Departments have created service philosophies and values, e.g., Circulation Services’ Guiding Principles
- University has various statements, e.g., Basic Principles of the University of Waterloo Workplace and the Principles of Inclusivity
- Customers have been identified and segmented
- Students involved in operations and sit on committees campus-wide
- Liaison Librarians for each academic department
- “Advancing Research and Scholarship”, “Enabling Student Success”, “New Spaces for New times”, and “New Skills for New times” all address needs of customers
- Many Voice of the Customer mechanisms in place, e.g., surveys, online forms, emails, “give us feedback” link, “contact us”, “Ask a Librarian”, “Get help” in research guides, web feedback, comment cards, service desk, virtual chats, etc.
- Great initiatives to create a customer centred culture, e.g., reconfiguring spaces, Dana Porter Library’s patio, Browser’s Café, Writing Centre, IST Help desk, etc.
- Communication strategies include Library News site, news@your library, website, social media, CIRCus and “What you need to know today”
- Customer Committees, e.g., Outreach Committee, “Beyond the Desk” working group etc.
- Planned events, e.g., Library Day
- Internal Library Communications Toolkit
- Office of Student Success

\(^1\) We recognize that at times library terminology differs from that used by Excellence Canada. A particular example is the word "customer." In practice, library employees tend to refer specifically to "students", "faculty", "staff", "patrons", and/or, as used in the Library's mission statement, "clients."
CUSTOMER EXPERIENCE – Opportunities

- There is a great deal of energy devoted to good customer service; a more formalized, consistent approach should be fostered over time
- Formalize a Customer Experience Plan, including identifying various mechanisms to solicit feedback from customers across all areas, which will serve to inform ongoing planning and improvement
- As part of the Plan identify the customer metrics that are needed to measure ongoing improvement
- Be sure to share customer survey engagement results and other feedback with employees
- Identify and measure/monitor customer service standards for key customer contact points
- Customer service training should be mandatory for all staff including casual and contract
- We received some feedback that a survey had been conducted last January for the service desk but the employees have still not seen the results

The Library is now

- much better at getting student feedback
- listening more
- and encouraging us to take our breaks

Employees in a focus group
PEOPLE ENGAGEMENT – Strengths

- Employees are proud to work at the Library
- Excellent focus on employee work-life balance including flexibility, working from home, etc.
- Good benefits program
- Orientation for new employees
- Mandatory training for all employees
- Vacation policy to support employee wellness (encouraged to take vacation)
- Good training opportunities, e.g., tuition assistance, professional development
- Annual performance evaluation system in place
- Events such as annual all staff days, barbecues, library lens, welcome dinners, baby showers, staff appreciation events, holiday parties, ice cream socials, etc. all help to foster employee engagement
- Planning new focus on mental health (starts in December), using “not myself Today” campaign, T-shirts to celebrate Mental Health Wellness day
- Health Services can assist employees in need
- Currently have counselling available (there is a plan to look at external EAP services)
- Workload is a recognized issue (some employees noted that the workload was relaxed and was not an issue so it was not consistent)
- Emergency leave days are offered
- Good tools have been developed, e.g., Library Staff Manual, Librarians Employment Handbook, Library Safety Manual, Library Flextime Guidelines, etc.
- Ergonomics assessment resources are available
- Physical activity facilities are available at no cost
- Employees are not expected to monitor or respond to emails while away from the office
- Job descriptions are current and posted on HR website
- HR policies in place and available online for employees

81% of employees say the Library is committed to work-life balance

Excellence Canada Survey
PEOPLE ENGAGEMENT – Opportunities

- On the Performance Evaluation system, ensure employee goals and objectives are linked to departmental and corporate goals
- Conduct an employee survey at least every 18 months to gauge issues and concerns, then share the results and work on improvements (e.g., top 3 issues)
- Consider incorporating psychosocial risk assessment into existing surveys/assessment processes to identify workplace mental health priorities, e.g., as part of the employee survey in point above
- On Internal customers – we believe the academic departments would be considered an “internal” customer, (although they also act as partners) as well as services such as IST may be an internal service to Library departments. Need to establish more formal ways to obtain feedback and measure performance in the “internal customer” areas
- Several comments were raised in focus groups about the delay in hiring and recruiting for open positions. This seems to be affecting workload in a negative way
- Continue to find ways to make employees located outside the main campus libraries as well as those working “non-business” hours to feel included
- Consider a wellness section on the Intranet (this should be university-wide)
- Consider celebrating Canada’s Healthy Workplace Month in October – sign up on the website, use the resources and showcase your wellness events
- We did not see a “Wellness Committee” per se - we suggest that either an existing committee or a new committee could have a more formal focus on wellness, where activities would be tracked and monitored for effectiveness, and initiatives such as Canada’s Healthy Workplace Month could be run
- While workload seems to be an issue for some and not others, perhaps consider a formal cross-training program where employees with less workload can help out in other departments when needed and where feasible

88% of employees say the University has a policy that refers to respect for inclusivity

Excellence Canada Survey
PROCESS AND PROJECT MANAGEMENT – Strengths

- The verification team heard many examples of a “continuous improvement” culture at the Library, e.g., example of Library Help request tracking system, new website, usability tracking, repurposing space, etc.
- Library Review is an excellent process
- IST has a Portfolio Management Office
- Some process work has been piloted (e.g., Kaizen projects)
- Some process improvement initiatives ongoing (not consistent across all areas)
- Use of focus groups and surveys to help improve process
- Training opportunities offered in project management
- A Technology Advisory Committee is planned to review, approve and prioritize projects
- University has just announced that it will be adopting Lean methodology for process improvement

PROCESS AND PROJECT MANAGEMENT – Opportunities

- Even though we saw examples of process improvement and process maps, we did not see:
  - A consolidated Library planned approach to identification and review of “key” processes in each department
  - A plan and schedule for review of all “key” processes
  - Formal training planned for process reviews and process mapping
- There is institutional memory in people’s heads – documentation of processes should be continually updated and easily accessible to all staff on Sharepoint
- Continue to work on standardizing the approach to process improvement across all areas, e.g., same methodology, same language, using cross functional teams and this will help with communication and collaboration
- The same formalized approach should be in place for Project management – it seems IST may have a system in place already. All departments should use the same consistent methodology for running projects, e.g., standards and templates
- Work on consistency of policy application across all locations

72% of employees say when decisions are made management considers the impact on customers and employees

81% of employees say the Library is committed to improving its processes and procedures

Excellence Canada Survey

Excellence Canada Survey
PARTNERS and SUPPLIERS—Strengths

- Many examples were given of successful partnerships, e.g., TUG, CRKN, OCUL, CARL, ARL
- Procurement department has policies, procedures in place and guidelines for purchasing systems
- Some supplier operational and performance review mechanisms are in place

PARTNERS and SUPPLIERS—Opportunities

- As you progress to the next level, a formalized approach to Partnerships needs to be developed, and even though individual departments may have identified key supplier/partners, a library-wide approach should tie all these elements together in a plan
- Continue to engage suppliers and partners in improvement strategies across all areas
- SLA’s should be in place for all partners/suppliers
- As you move to the higher EIW levels, ensure that supplier and partner engagement is well documented so that the Library can demonstrate “Trends” over time. The requirements for Platinum level are noted below:
  - Levels and trends of the organization’s satisfaction with key partners and suppliers are used for sustained improvement.
  - Levels and trends in key partner and supplier satisfaction with regard to the relationship with the organization are used for sustained improvement.
  - Levels and trends of involvement of key partners and suppliers in services and/or products are measured and used for sustained improvement.

Note: we realize there may be some confusion on “partners” versus “customers”, e.g., are donors considered partners or customers? In any case, these partnerships/suppliers/customers should be managed on a consistent basis, so that relationships are monitored and evaluated on an ongoing basis, and findings are used to inform improvements over time.
We asked employees if they could change one thing – what it would be.

- Process for planning and prioritizing
- The process for collaboration needs streamlining (sometimes takes too long to implement things)
- Process for performance appraisals (should not be so “cookie cutter”)
- We need more staff!
- Dust the collections
- More space
- More time for innovation
- Leave labs and classrooms open longer (e.g., like Laurier and Conestoga)
- Flexible time for all employees

We asked employees would they would NOT change

- Flexibility!
- Culture of collaboration
- I always want to come to work
- Feeling valued and appreciated
- Keep the libraries! (e.g., in this increasingly digital world)
- Christmas holidays
- Working from home
- Access to work through a laptop
- Climate/culture
- Food
- Giving
- Pot lucks
- Comradery
- Feel like a small town
- Supportive
- We have fun
- Welcoming environment

85% of employees say management communicates with employees regularly and in a variety of ways

Excellence Canada Survey
CONCLUSION
Excellence Canada congratulates the University of Waterloo Library on qualifying for the FOUNDATION level in the Excellence, Innovation and Wellness program. We look forward to celebrating with you soon!
<table>
<thead>
<tr>
<th>Driver</th>
<th>Available Points</th>
<th>Total Available Points</th>
<th>Actual Points</th>
<th>Total Actual Points</th>
<th>% per driver</th>
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<tbody>
<tr>
<td><strong>Leadership and Governance</strong></td>
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<tr>
<td>a) Leadership endorses the principles</td>
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<td>b) Key policies and/or written statements</td>
<td>40</td>
<td>35</td>
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<tr>
<td>c) Decision-making process</td>
<td>40</td>
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<td>d) Compliance method re compliance</td>
<td>40</td>
<td>40</td>
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<tr>
<td>e) Policy that demonstrates respect for diversity</td>
<td>40 200</td>
<td>40 175</td>
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<td><strong>Strategy and Planning</strong></td>
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<tr>
<td>a) Vision, mission is communicated</td>
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<td>b) Commitment to Excellence, Innovation and Wellness</td>
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<td>35 35</td>
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<td>c) Risks are identified</td>
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<td>d) Policies &amp; plans are communicated</td>
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<td>160</td>
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<td>140</td>
<td>88%</td>
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<td><strong>Customer Experience</strong></td>
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<td>a) Customers are segmented based on needs and values</td>
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<td>b) Customer experience policy is communicated</td>
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<td>c) Communication to customer groups</td>
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<td>d) Positive customer service is understood</td>
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<td>e) Feedback process is in place</td>
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<td><strong>People Engagement</strong></td>
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<td>a) Work/life balance</td>
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<td>b) Commitment to people and wellness</td>
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<td>c) Awareness training for employees</td>
<td>40</td>
<td>30</td>
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<td>d) Human Resources policies are developed</td>
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<td>e) Internal customers are identified</td>
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<td>30 165</td>
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<td><strong>Process and Project Management</strong></td>
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<td>a) Commitment to improvement</td>
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<td>b) Key processes and projects are identified</td>
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<td>c) Training is planned</td>
<td>40 120</td>
<td>25 80</td>
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<td><strong>Partners and Suppliers</strong></td>
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<tr>
<td>a) Key partners/suppliers are identified</td>
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<tr>
<td>b) Policies for partner/supplier relationships are in place</td>
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<td>c) Selection of partner/suppliers</td>
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<td>30 90</td>
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For certification - A minimum of 65% of available points is needed to qualify for Bronze certification and a minimum score of 50% is required for each of the drivers.

Percentage of available points (Actual score ÷ Available Points) 83%